

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 2-2005)

ATTORNEY'S DOCKET NUMBER

290.0004 0130

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

Unknown **10/539241**

INTERNATIONAL APPLICATION NO.
PCT/US 2003/039950

INTERNATIONAL FILING DATE
16 December 2003

PRIORITY DATE CLAIMED
16 December 2002

TITLE OF INVENTION
pRNA CHIMERA

APPLICANT(S) FOR DO/EO/US
Peixuan GUO et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:


1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☒ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 201 892 242 US
23. ☒ Other items or information:

itemized return-stamped postcard; Transmittal Letter (1 pg); ADS (3 pgs); Communication Re: Entry of Sequence Listing (1 pg); paper copy Seq.List (11 pgs); 30 sheet replacement drawings; Forms PCT/ISA/224, 220 and 210; authorization to charge DEPOSIT ACCNT NO. 13-4895 for \$580 for U.S. Natl Stage Filing Fee

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|---|---------------------|--|--|--|-------------------|
| U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/539241 | | INTERNATIONAL APPLICATION NO. PCT/US 2003/039950 | | ATTORNEY'S DOCKET NUMBER 290.0004 0130 | |
| The following fees are submitted: | | | | CALCULATIONS | PTO USE |
| 24. <input checked="" type="checkbox"/> Basic national fee | | \$300 | \$ | \$300.00 | |
| 25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). All other situations. | | \$100 \$200 | \$ | \$200.00 | |
| 26. <input checked="" type="checkbox"/> Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority International Search Report prepared and provided to the Office All other situations. | | \$100 \$400 \$500 | \$ | \$100.00 | |
| TOTAL OF 24, 25 and 26 = | | | \$ | \$600.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE | | |
| 96 - 100 = | 0 /50 = | 0 | x \$250.00 | \$ | \$0.00 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | \$130.00 |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 27 - 20 = | 7 | x \$50.00 | \$ | \$350.00 |
| Independent claims | 2 - 3 = | 0 | x \$200.00 | \$ | \$0.00 |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00 | | | | \$ | \$0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | \$1,080.00 |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | \$540.00 |
| SUBTOTAL = | | | | \$ | \$540.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | \$0.00 |
| TOTAL NATIONAL FEE = | | | | \$ | \$540.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + | | | | \$ | \$40.00 |
| TOTAL FEES ENCLOSED = | | | | \$ | \$580.00 |
| | | | | Amount to be | \$ |
| | | | | Amount to be | \$ |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 13-4895 in the amount of \$580.00 to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-4895 . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | |
| Victoria A. SANDBERG MUETING, RAASCH & GEBHARDT, P.A. P.O. Box 581415 Minneapolis, Minnesota 55458-1415 US | | |  SIGNATURE Victoria A. SANDBERG NAME 41,287 REGISTRATION NUMBER | | |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Peixuan GUO et al.
Docket No.: 290.0004 0130
Title: pRNA CHIMERA

10/539241

JC17 Rec'd PCT/PTO 16 JUN 2005

MAIL STOP PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

U.S. NATIONAL STAGE PATENT APPLICATION

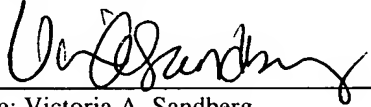
We are transmitting the following documents along with this Transmittal Sheet (which is submitted in triplicate):

- ☒ An itemized return postcard.
- ☒ Transmittal Letter to the United States DO/EO/US Concerning a Filing Under 35 U.S.C. 371 (Form PTO-1390) (2 signed copies, 2 pgs each)
- ☒ Application Data Sheet (3 pgs).
- ☒ Marked-up SUBSTITUTE SPECIFICATION (64 pgs) and Clean version SUBSTITUTE SPECIFICATION (64 pgs)
- ☒ Formal Drawings (Replacement Sheets) (30 sheets)
- ☒ An Assignment of the invention to PURDUE RESEARCH FOUNDATION and Recordation Form Cover Sheet (4 pgs total).
- ☒ Other: Preliminary Amendment (9 pgs) Copy of International Search Report; Copy of Forms PCT/ISA/224, 220, and 210;
- ☒ Communication Requesting Entry of Sequence Listing (2 pgs); Paper Copy of Seq.List (11 pgs); and Computer Readable Form (CRF) (1 disk) of the Sequence Listing.
- ☒ Please charge DEPOSIT ACCOUNT NO. 13-4895 in the amount of \$ 580 to pay the filing fees.

☒ **Small Entity Status is entitled to be asserted in the above-identified application.**

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 13-4895. Triplicate copies of this sheet are enclosed.

MUETING, RAASCH & GEBHARDT, P.A.
Customer Number: 26813

By: 
Name: Victoria A. Sandberg
Reg. No.: 41,287
Direct Dial: 612-305-1226
Facsimile: 612-305-1228

CERTIFICATE UNDER 37 CFR §1.10:

"Express Mail" mailing label number: EV 201 892 242 US Date of Deposit: 16 JUNE 2005

I hereby certify that the Transmittal Letter and the paper(s) and/or fee(s), as described hereinabove, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: 
Printed Name: Kelly J. McPherty

(SMALL ENTITY TRANSMITTAL UNDER RULE 1.10)